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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

501.43495X00

First Inventor

SHIMADA, AKINOBU

Title

DISK ARRAY APPARATUS AND CONTROL
METHOD FOR DISK ARRAY APPARATUS

Express Mail Label No.

APPLICATION ELEMENTS

SEE MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)

2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.

3. ☒ Specification [Total Pages: **49**]
(preferred arrangement set forth below)

-Descriptive title of the invention
-Cross Reference to Related Applications
-Statement Regarding Fed sponsored R & D
-Reference to sequence listing, a table,
or a computer program listing appendix
-Background of the Invention
-Brief Summary of the Invention
-Brief Description of the Drawings (if filed)
-Detailed Description
-Claim(s)
-Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets: **12**]

5. Oath or Declaration [Total Sheets: _____]

- a. ☐ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)

- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
Named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b)

6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
a. ☐ Computer Readable Form (CRF)
b. Specification Sequence Listing on:
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☐ paper
c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & documents(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure ☒ Copies of IDS Citations
Statement (IDS)/PTO-1449
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
17. ☒ Other: **Figs. 1-12, Credit Card Payment Form, Claim
For Priority Letter**

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,
or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

Prior application information: Examiner: _____ Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under
Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number **020457** OR ☐ Correspondence address below

Name **ANTONELLI, TERRY, STOUT & KRAUS, LLP**

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City

State

Zip Code

Country

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(703) 312-6666

Name (Print/Type) **Carl J. Brundidge**

Registration No. (Attorney/Agent)

29,621

Signature

Date

February 5, 2004

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

020504

13281 U.S. PTO

16834 U.S. PTO
10/7/1455

020504

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**FEE TRANSMITTAL
for FY 2004**

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$)**1,078.00****Complete if Known**

Application Number	
Filing Date	February 5, 2004
First Named Inventor	SHIMADA, AKINOBU
Examiner Name	
Art Unit	
Attorney Docket No.	501.43495X00

METHOD OF PAYMENT (check all that apply)☐ Check ☒ Credit Card ☐ Money ☐ Other ☐ None
Order☒ Deposit Account:Deposit
Account
Number
Deposit
Account
Name

01-2135

Antonelli, Terry, Stout & Kraus, LLP

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) during the pendency of this application.☐ Charge fee(s) indicated below, except for the filing fee
to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
1001	770	2001	385	Utility filing fee	770.00
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					770.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims	Fee from below	Fee Paid
Total Claims	21	-20** = 1 x 18	= 18.00
Indep. Claims	2	-3** = 0 x 86	= 0
Multiple Dependent		290	= 290.00

Large Entity Fee Code	Small Entity Fee Code	Fee Description
1202	2202	9 Claims in excess of 20
1201	2201	43 Independent claims in excess of 3
1203	2203	145 Multiple dependent claim, if not paid
1204	2204	43 ** Reissue independent claims over original patent
1205	2205	9 ** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2) \$ 308.00		

**or number previously paid, if greater; For Reissues, see above.


FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
1051	2051	130 65 Surcharge - late filing fee or oath	
1052	2052	50 25 Surcharge - late provisional filing fee or cover sheet	
1053	1053	130 130 Non-English specification	
1812	1812	2,520 2,520 For filing a request for <i>ex parte</i> reexamination	
1804	1804	920* 920* Requesting publication of SIR prior to Examination action	
1805	1805	1,840* 1,840* Requesting publication of SIR after Examiner action	
1251	2251	110 55 Extension for reply within first month	
1252	2252	420 210 Extension for reply within second month	
1253	2253	950 475 Extension for reply within third month	
1254	2254	1,480 740 Extension for reply within fourth month	
1255	2255	2,010 1,005 Extension for reply within fifth month	
1401	2401	330 165 Notice of Appeal	
1402	2402	330 165 Filing a brief in support of an appeal	
1403	2403	290 145 Request for oral hearing	
1451	1451	1,510 1,510 Petition to institute a public use proceeding	
1452	2452	110 55 Petition to revive - unavoidable	
1453	2453	1,330 665 Petition to revive - unintentional	
1501	2501	1,330 665 Utility issue fee (or reissue)	
1502	2502	480 240 Design issue fee	
1503	2503	640 320 Plant issue fee	
1406	1460	130 130 Petitions to the Commissioner	
1807	1807	50 50 Processing fee under 37 CFR 1.17(q)	
1806	1806	180 180 Submission of Information Disclosure Stmt	
8021	8021	40 40 Recording each patent assignment per property (times number of properties)	
1809	2809	770 385 Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	2810	770 385 For each additional invention to be examined (37 CFR § 1.129(b))	
1801	2801	770 385 Request for Continued Examination (RCE)	
1802	900	900 900 Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**0.00****SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)	Carl I. Brundidge	Registration No. (Attorney/Agent)	29,621	Telephone	703-312-6600
Signature		Date	02/05/2004		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

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